Search on 10/603100   (full Business Methods template)

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    ~~ will find the beginning of each group of results
    ^ will find the tagged items

Information on Dialog databases can be found at:
http://library.dialog.com/bluesheets/

~~ Patent Literature: Inventor search

File 347:JAPIO Dec 1976-2007/Dec(Updated 080328)
         (c) 2008 JPO & JAPIO
File 348:EUROPEAN PATENTS 1978-2007/ 200822
         (c) 2008 European Patent Office
File 349:PCT FULLTEXT 1979-2008/UB=20080522|UT=20080522
         (c) 2008 WIPO/Thomson
File 350:Derwent WPIX 1963-2008/UD=200834
         (c) 2008 The Thomson Corporation

Set   Items   Description
S1   25   AU=WAELBROECK H?
S2   23   AU=FEDERSPIEL F?
S3   476   AU=LOPEZ J?
S4   496   S1 OR S2 OR S3
S5   12   S4 AND ((SECURITIES OR EQUITIES OR STOCKS)(2N)(TRADE OR TR-
               ADES OR TRADING OR TRANSACTION OR TRANSACTIONS OR TRANSACTING
               OR PURCHASE OR PURCHASES OR PURCHASING OR SALE OR BUY OR BUYI-
               NG OR SELL OR SELLING))
S6   12   S5 AND IC=(G06F OR G06Q)

    6/3/1   (Item 1 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2008 WIPO/Thomson. All rts. reserv.

01581831   **Image available**
SYSTEMS AND METHODS FOR PROVIDING ANONYMOUS REQUESTS FOR QUOTES FOR
FINANCIAL INSTRUMENTS
SYSTEMES ET PROCEDES DE DEMANDES ANONYMES DE COTES POUR INSTRUMENTS
FINANCIERS
Patent Applicant/Assignee:
   PIPELINE FINANCIAL GROUP INC, 60 East 42nd Street, Suite 642, New York,
   NJ 10165, US, US (Residence), US (Nationality), (For all designated
   states except: US)
Patent Applicant/Inventor:
   WAELBROECK Henri , 38A Claremont Rd., Scarsdale, NJ 10583, US, US
   (Residence), BE (Nationality), (Designated only for: US)
   GANSE Brent, 925 Allamanda Drive, Delray Beach, FL, US, US (Residence),
   US (Nationality), (Designated only for: US)
   FEDERSPIEL Fred , 12 Gerlach Place, Larchmont, NY 10538, US, US
   (Residence), US (Nationality), (Designated only for: US)
Legal Representative:
   UNDERWOOD Steven D et al (agent), MORGAN LEWIS, 1111 Pennsylvania Ave.,
   NW, Washington, DC 20004, US
Patent and Priority Information (Country, Number, Date):
   Patent: WO 2007127041 A2-A3 20071108 (WO 07127041)
   Application: WO 2007US8745 20070404 (PCT/WO US2007008745)
   Priority Application: US 2006409534 20060421
Designated States:
(All protection types applied unless otherwise stated - for applications
2004+)
   AE AG AL AM AT AU AZ BA BB BG BH BR BW BY BZ CA CH CN CO CR CU CZ DE DK
   DM DZ EC EE EG ES FI GB GD GE GH GM GT HN HR HU ID IL IN IS JP KE KG KM
   KN KP KR KZ LA LC LK LR LS LT LU LV MA MD ME MG MK MN MW MX MY MZ NA NG
   NI NO NZ OM PG PH PL PT RO RS RU SC SD SE SG SK SL SM SV SY TJ TM TN TR
   TT TZ UA UG US UZ VC VN ZA ZM ZW

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 (EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU LV MC MT
 NL PL PT RO SE SI SK TR
 (OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG
 (AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW
 (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 7428


 6/3/2    (Item 2 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2008 WIPO/Thomson. All rts. reserv.

01580082    **Image available**
RICH GRAPHICAL CONTROL INTERFACE FOR ALGORITHMIC TRADING ENGINE
INTERFACE DE COMMANDE GRAPHIQUE RICHE POUR MOTEUR D'ECHANGE ALGORITHMIQUE
Patent Applicant/Assignee:
 PIPELINE FINANCIAL GROUP, 60 East 42nd Street, Suite 624, New York, New
  York 10165, US, US (Residence), US (Nationality), (For all designated
  states except: US)
Patent Inventor(s):
 WAELBROECK Henri , 38A Claremont Road, Scarsdale, New York 10583, US, US
  (Residence), US (Nationality), (Designated only for: US)
 GAMSE Brent, 925 Allamanda Drive, Delray Beach, Florida 33483, US, US
  (Residence), US (Nationality), (Designated only for: US)
 DEMPSEY Ian, 245 E. 44th Street, 23B, New York, New York 10017, US, US
  (Residence), US (Nationality), (Designated only for: US)
 SHAPIRO Andrew, 129 Pioneer Street, Brooklyn, New York 11231, US, US
  (Residence), US (Nationality), (Designated only for: US)
 BURMEISTER Abe, 55 Washington Street, #659, Brooklyn, New York 11201, US,
  US (Residence), US (Nationality), (Designated only for: US)
Legal Representative:
 GREENBAUM Michael C et al (agent), Blank Rome LLP, 600 New Hampshire
  Avenue, Nw, Washington, District of Columbia 20037, US
Patent and Priority Information (Country, Number, Date):
 Patent:            WO 2007127857 A2 20071108 (WO 07127857)
 Application:       WO 2007US67528 20070426   (PCT/WO US2007067528)
 Priority Application: US 2006795646 20060426; US 2007783251 20070406; US
  2007783254 20070406; US 2007783250 20070406; US 2007783253 20070406; US
  2007783252 20070406
Designated States:
(All protection types applied unless otherwise stated - for applications
2004+)
 AE AG AL AM AT AU AZ BA BB BG BH BR BW BY BZ CA CH CN CO CR CU CZ DE DK
 DM DZ EC EE EG ES FI GB GD GE GH GM GT HN HR HU ID IL IN IS JP KE KG KM
 KN KP KR KZ LA LC LK LR LS LT LU LY MA MD MG MK MN MW MX MY MZ NA NG NI
 NO NZ OM PG PH PL PT RO RS RU SC SD SE SG SK SL SM SV SY TJ TM TN TR TT
 TZ UA UG US UZ VC VN ZA ZM ZW
 (EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU LV MC MT
 NL PL PT RO SE SI SK TR
 (OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG
 (AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW
 (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 26432


 6/3/3    (Item 3 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2008 WIPO/Thomson. All rts. reserv.

01281817
BLOCK  TRADING  SYSTEM AND METHOD PROVIDING PRICE IMPROVEMENT TO AGGRESSIVE
  ORDERS
SYSTEME D'ECHANGE DE TITRES ET PROCEDE DE FOURNITURE DE COURS AMELIORE POUR
  DES ORDRES AGRESSIFS
Patent Applicant/Assignee:
```

PIPELINE FINANCIAL GROUP INC, 60 E. 42nd Street, Suite 624, New York, NY
  10165, US, US (Residence), US (Nationality), (For all designated states
  except: US)
Patent Applicant/Inventor:
  WAELBROECK Henri , 38A Claremont Road, Scarsdale, NY 10583, US, US
    (Residence), BE (Nationality),
  FEDERSPIEL Fred J , 12 Gerlach Place, Larchmont, NY 10538, US, US
    (Residence), US (Nationality),
  LOPEZ John E , 25 Burgundy Lane, Nesconset, NY 11767, US, US (Residence)
    , US (Nationality),
Legal Representative:
  UNDERWOOD Steven D et al (agent), Morgan Lewis & Bockius LLP, 1111
    Pennsylvania Avenue, NW, Washington, DC 20004, US
Patent and Priority Information (Country, Number, Date):
  Patent: WO 200586785 A2-A3 20050922 (WO O586785)
  Application: WO 2005us7463 20050309   (PCT/WO US2005007463)
  Priority Application: US 2004799205 20040311
Designated States:
(All protection types applied unless otherwise stated - for applications
2004+)
  AE AG AL AM AT AU AZ BA BB BG BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM
  DZ EC EE EG ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC
  LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NA NI NO NZ OM PG PH PL PT RO
  RU SC SD SE SG SK SL SM SY TJ TM TN TR TT TZ UA UG US UZ VC VN YU ZA ZM
  ZW
  (EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU MC NL PL
  PT RO SE SI SK TR
  (OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG
  (AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW
  (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 24108

^ 6/3/4   (Item 4 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2008 WIPO/Thomson. All rts. reserv.

01197352   **Image available**
CONFIDENTIAL BLOCK TRADING SYSTEM AND METHOD
SYSTEME ET PROCEDE DE VENTE DE TITRES CONFIDENTIELLE
Patent Applicant/Assignee:
  E-XCHANGE ADVANTAGE INC, 51 East 42nd Street, Suite 602, New York, NY
    10017, US, US (Residence), US (Nationality), (For all designated states
    except: US)
Patent Applicant/Inventor:
  WAELBROECK Henri , 38A Claremont Road, Scarsdale, NY 10583, US, US
    (Residence), BE (Nationality), (Designated only for: US)
  FEDERSPIEL Fred J , 12 Gerlach Place, Larchmont, NY 10583, US, US
    (Residence), US (Nationality), (Designated only for: US)
  LOPEZ John E , 25 Burgundy Lane, Nesconset, NY 11767, US, US (Residence)
    , US (Nationality), (Designated only for: US)
Legal Representative:
  UNDERWOOD Steven D et al (agent), Morgan, Lewis & Bockius LLP, 1111
    Pennsylvania Avenue, NW, Washington, DC 20004, US
Patent and Priority Information (Country, Number, Date):
  Patent: WO 200503894 A2-A3 20050113 (WO O503894)
  Application: WO 2004us19706 20040622 (PCT/WO US2004019706)
  Priority Application: US 2003603100 20030624
Designated States:
(All protection types applied unless otherwise stated - for applications
2004+)
  AE AG AL AM AT AU AZ BA BB BG BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM
  DZ EC EE EG ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC
  LK LR LS LT LU LV MA MD MG MN MW MX MZ NA NI NO NZ OM PG PH PL PT RO
  RU SC SD SE SG SK SL SY TJ TM TN TR TT TZ UA UG US UZ VC VN YU ZA ZM ZW
  (EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IT LU MC NL PL PT RO
  SE SI SK TR

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   (OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG
   (AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW
   (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 15055
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01018909   **Image available**
METHOD AND SYSTEM FOR MANAGING DISTRIBUTED TRADING DATA
PROCEDE ET SYSTEME DE GESTION DE DONNEES COMMERCIALES DISTRIBUEES
Patent Applicant/Assignee:
   E-XCHANGE ADVANTAGE INC, 51 East 42nd Street, Suite 602, New York, NY
      10017, US, US (Residence), US (Nationality), (For all designated states
      except: US)
Inventor(s):
   FEDERSPIEL Fred J , 12 Gerloch Place, Larchmont, NY 10538, US,
   WAELBROECK Henri , 38A Claremont, Scarsdale, NY 10583, US,
   LOPEZ John E , 25 Burgandy Lane, Nesconset, NY 11767, US,
Legal Representative:
   MORRIS Francis E (et al) (agent), Pennie & Edmonds LLP, 1155 Avenue of
      the Americas, New York, NY 10538, US,
Patent and Priority Information (Country, Number, Date):
   Patent: WO 20034890S A2-A3 20030612 (WO 0348905)
   Application: WO 2002US3894S 20021205   (PCT/WO US02038945)
   Priority Application: US 200133677S 20011205; US 200400467 20020801
Designated States:
(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)
   JP SG
   (EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR IE IT LU MC NL PT SE SI SK
   TR
Publication Language: English
Filing Language: English
Fulltext Word Count: 47409

00859513   **Image available**
A METHOD FOR DIRECTING AND EXECUTING CERTIFIED TRADING INTERESTS
PROCEDE DE COMMANDE ET D'EXECUTION D'INTERETS CERTIFIES SUR OPERATIONS
Patent Applicant/Assignee:
   E-XCHANGE ADVANTAGE INC, Suite 602, 51 East 42nd Street, New York, NY
      10017, US, US (Residence), US (Nationality)
Inventor(s):
   WAELBROECK Henri , 38A Claremont Rd., Scarsdale, NY 10583, US,
   FEDERSPIEL Fred J , 12 Gerloch Place, Larchmont, NY 10538, US,
   ANGEL James J , 936 N. Livingston St., Arlington, VA 22205, US,
Legal Representative:
   MORRIS Francis E (et al) (agent), Pennie & Edmonds LLP, 1155 Avenue of
      the Americas, New York, NY 10036, US,
Patent and Priority Information (Country, Number, Date):
   Patent: WO 20019316S A1 20011206 (WO 0193169)
   Application: WO 2001US17519 20010531   (PCT/WO US0117519)
   Priority Application: US 200058S049 20000601; US 200075076S 20001229
Designated States:
(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)
   AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ
   EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS
   LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ
   TM TR TT TZ UA UG UZ VN YU ZA ZW

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(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
(OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
(EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 32002


6/3/7     (Item 7 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2008 WIPO/Thomson. All rts. reserv.

00842045    **Image available**
A SYSTEM AND METHOD FOR DISPLAYING MARKET INFORMATION
SYSTEME ET PROCEDE D'AFFICHAGE D'INFORMATIONS DE MARCHE
Patent Applicant/Assignee:
   E-XCHANGE ADVANTAGE INC, Suite 602, 51 East 42nd Street, New York, NY
      10017, US, US (Residence), US (Nationality)
Inventor(s):
   FEDERSPIEL Fred J , 12 Gerloch Place, Larchmont, NY 10538, US,
   WAELBROECK Henri , 38A Claremont, Scarsdale, NY 10583, US,
Legal Representative:
   MORRIS Francis E (et al) (agent), Pennie & Edmonds LLP, 1155 Avenue of
      the Americas, New York, NY 10036, US,
Patent and Priority Information (Country, Number, Date):
   Patent:            WO 20017S723 A1 20011011 (WO 0175733)
   Application:       WO 2001US10325 20010329  (PCT/WO US0110325)
   Priority Application: US 2000539120 20000330
Designated States:
(Protection type is "patent" unless otherwise stated - for applications
   prior to 2004)
   AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ
   EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS
   LT LU LV MA MD MG MK MN MW MX MZ NO NZ PL PT RO RU SD SE SG SI SK SL TJ
   TM TR TT TZ UA UG UZ VN YU ZA ZW
   (EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE TR
   (OA) BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG
   (AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
   (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 10422


6/3/8     (Item 1 from file: 350)
DIALOG(R)File 350:Derwent WPIX
(c) 2008 The Thomson Corporation. All rts. reserv.

0014803751  - Drawing available
WPI ACC NO: 2005-151437/200516
XRPX ACC No: N2005-127761
Electronic trading method of e.g. stock, involves allowing initiator to
request final price of item when benchmark spot price and spot yield are in
accord so that initiators and respondents are notified about trading state
of items
Patent Assignee: GOLDENBERG B (GOLD-I); GORDON-BRANDER A (GORD-I); LOPEZ
   J (LOPE-I); TUOHY C (TUOH-I)
Inventor: GOLDENBERG B; GORDON-BRANDER A;  LOPEZ J ; TUOHY C
Patent Family (1 patents, 1 countries)
Patent                        Application
Number      Kind  Date    Number       Kind  Date    Update
US 20050027640  A1  20050203  US 2003492005    P   20030731  200516 B
                              US 2003492136    P   20030731
                              US 2003672379    A   20030926

Priority Applications (no., kind, date): US 2003492005  P   20030731; US
   2003492136  P   20030731; US 2003672379  A   20030926
```

Electronic securities trading method for market participant e.g.
institution, involves executing trade with security orders at price whose
difference from reference price is minimized, where trade complies with
price limits
Patent Assignee: E-XCHANGE ADVANTAGE CORP (EXCH-N); FEDERSPIEL F J
    (FEDE-I); LOPEZ J E (LOPE-I); PIPELINE FINANCIAL GROUP INC (PIPE-N);
    WAELBROECK H (WAEL-I)
Inventor: FEDERSPIEL F ; FEDERSPIEL F J ; LOPEZ J ; LOPEZ J E ;
    WAELBROECK H
Patent Family (6 patents, 108 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update	
US 20040210511	A1	20041021	US 2000585049	A	20000601	200477	B
			US 2000750768	A	20001229		
			US 2001870845	A	20010531		
			US 2003603100	A	20030624		
			US 2004799205	A	20040311		
WO 2005086785	A2	20050922	WO 2005US7463	A	20050309	200563	E
AU 2005220858	A1	20050922	AU 2005220858	A	20050309	200713	E
EP 1763840	A2	20070321	EP 2005729202	A	20050309	200723	E
			WO 2005US7463	A	20050309		
IN 200603776	P4	20070622	WO 2005US7463	A	20050309	200767	E
			IN 2006CN3776	A	20061011		
JP 2007528559	W	20071011	WO 2005US7463	A	20050309	200768	E
			JP 2007502909	A	20050309		

Priority Applications (no., kind, date): US 2000585049 A 20000601; US
  2000750768 A 20001229; US 2001870845 A 20010531; US 2003603100 A
  20030624; US 2004799205 A 20040311

WO 2005086785 A2 EN
National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BR BW
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  HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW
  MX MZ NA NI NO NZ OM PG PH PL PT RO RU SC SD SE SG SK SL SM SY TJ TM TN
  TR TT TZ UA UG US UZ VC VN YU ZA ZM ZW
Regional Designated States,Original: AT BE BG BW CH CY CZ DE DK EA EE ES
  FI FR GB GH GM GR HU IE IS IT KE LS LT LU MC MW MZ NA NL OA PL PT RO SD
  SE SI SK SL SZ TR TZ UG ZM ZW
AU 2005220858 A1 EN   Based on OPI patent   WO 2005086785
EP 1763840   A2 EN   PCT Application WO 2005US7463
                                   Based on OPI patent   WO 2005086785
Regional Designated States,Original: AL AT BA BE BG CH CY CZ DE DK EE ES
  FI FR GB GR HR HU IE IS IT LI LT LU LV MC MK NL PL PT RO SE SI SK TR YU
IN 200603776   P4 EN   PCT Application WO 2005US7463
JP 2007528559 W   JA   52   PCT Application WO 2005US7463
                                   Based on OPI patent   WO 2005086785

DIALOG(R)File 350:Derwent WPIX
(c) 2008 The Thomson Corporation. All rts. reserv.

0014085447 - Drawing available
WPI ACC NO: 2004-268511/200425
Related WPI Acc No: 2002-090121; 2002-499387; 2004-783124; 2007-218399
XRPX Acc No: N2004-212715
Securities   trading   method through Internet, involves notifying presence
of reasonably priced order to another user for receiving order, based on
analysis result of received order, and performing trade execution based on
orders
Patent Assignee: E-XCHANGE ADVANTAGE INC (EXCH-N); FEDERSPIEL F J
  (FEDE-I); LOPEZ J E (LOPE-I); WAELBROECK H (WAEL-I); XCHANGE ADVANTAGE
  INC E (XCHA-N); EXCHANGE ADVANTAGE INC (EXCH-N)
Inventor: FEDERSPIEL F J ; LOPEZ J ; LOPEZ J E ;
  WAELBROECK H
Patent Family (5 patents, 107 countries)

Number	Kind	Date	Application Number	Kind	Date	Update	
US 20040059666	A1	20040325	US 2000585049	A	20000601	200425	B
			US 2000750768	A	20001229		
			US 2001870845	A	20010531		
			US 2003603100	A	20030624		
WO 2005003894	A2	20050113	WO 2004US19706	A	20040622	200505	E
EP 1636678	A2	20060322	EP 2004755710	A	20040622	200621	E
			WO 2004US19706	A	20040622		
CN 1853193	A	20061025	CN 200480017566	A	20040622	200715	E
IN 200503515	P4	20070511	WO 2004US19706	A	20040622	200752	E
			IN 2005CN3515	A	20051223		

Priority Applications (no., kind, date): US 2000585049 A 20000601; US
  2000750768 A 20001229; US 2001870845 A 20010531; US 2003603100 A
  20030624

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes	
US 20040059666	A1	EN	38	10	C-I-P of application	US 2000585049
					C-I-P of application	US 2000750768
					C-I-P of application	US 2001870845

WO 2005003894   A2 EN
National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BR BW
  BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE EG ES FI GB GD GE GH GM HR
  HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW
  MX MZ NA NI NO NZ OM PG PH PL PT RO RU SC SD SE SG SK SL SY TJ TM TN TR
  TT TZ UA UG US UZ VC VN YU ZA ZM ZW
Regional Designated States,Original: AT BE BG BW CH CY CZ DE DK EA EE ES
  FI FR GB GH GM GR HU IE IT KE LS LU MC MW MZ NA NL OA PL PT RO SD SE SI
  SK SL SZ TR TZ UG ZM ZW
EP 1636678   A2 EN   PCT Application WO 2004US19706
                              Based on OPI patent WO 2005003894
Regional Designated States,Original: AL AT BE BG CH CY CZ DE DK EE ES FI
  FR GB GR HR HU IE IT LI LT LU LV MC MK NL PL PT RO SE SI SK TR
IN 200503515   P4 EN   PCT Application WO 2004US19706

DIALOG(R)File 350:Derwent WPIX
(c) 2008 The Thomson Corporation. All rts. reserv.

0012650000 - Drawing available
WPI ACC NO: 2002-499387/200253
Related WPI Acc No: 2002-090121; 2004-268511; 2004-783124; 2007-218399
XRPX Acc No: N2002-395380
Securities marketing information management method using Internet, involves
obtaining dissemination list of securities marketing participants based on
order-related and trade-related query received from the participants
Patent Assignee: ANGEL J J (ANGE-I); FEDERSPIEL F J (FEDE-I); WAELBROECK
  H (WAEL-I)

```
Inventor: ANGEL J J ;  FEDERSPIEL F J ;  WAELBROECK H
Patent Family (1 patents,  1 countries)
Patent                        Application
Number          Kind  Date    Number         Kind  Date      Update
US 20020052827  A1  20020502  US 2000585049  A   20000601  200253  B
                              US 2000750768  A   20001229
                              US 2001870845  A   20010531


Priority Applications (no., kind, date): US 2000585049  A  20000601; US
   2000750768  A  20001229; US 2001870845  A  20010531

Patent Details
Number          Kind  Lan  Pg  Dwg  Filing Notes
US 20020052827  A1  EN    48   20  C-I-P of application  US 2000585049
                                    C-I-P of application  US 2000750768


  6/3/12      (Item 5 from file: 350)
DIALOG(R)File 350:Derwent WPIX
(c) 2008 The Thomson Corporation. All rts. reserv.

0011031113  - Drawing available
WPI ACC NO: 2001-657060/200175
XRPX Acc No: N2001-489774
Electronic display method for securities   trading  market data involves
generating scales for shared vertical price axis and horizontal time and
trade size axis
Patent Assignee: E-XCHANGE ADVANTAGE INC  (EXCH-N); PIPELINE FINANCIAL
   GROUP INC  (PIPE-N)
Inventor: FEDERSPIEL F J ;  WAELBROECK H
Patent Family (3 patents,  93 countries)
Patent                         Application
Number          Kind  Date    Number         Kind  Date      Update
WO 2001075733   A1  20011011  WO 2001US10325  A   20010329  200175  B
AU 200151152    A   20011015  AU 200151152    A   20010329  200209  E
US 7308428      B1  20071211  US 2000539120   A   20000330  200781  E


Priority Applications (no., kind, date): US 2000539120  A  20000330

Patent Details
Number          Kind  Lan  Pg  Dwg  Filing Notes
WO 2001075733   A1  EN    42   14
National Designated States,Original:  AE AG AL AM AT AU AZ BA BB BG BR BY
   BZ CA CH CN CO CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL
   IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO
   NZ PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
Regional Designated States,Original:  AT BE CH CY DE DK EA ES FI FR GB GH
   GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW
AU 200151152    A   EN        Based on OPI patent  WO 2001075733


~~  Non-Patent Literature: Inventor search

File   2:INSPEC 1898-2008/May W1
          (C) 2008 Institution of Electrical Engineers
File   9:Business & Industry(R) Jul/1994-2008/May 28
          (C) 2008  The Gale Group
File  15:ABI/Inform(R) 1971-2008/Jun 02
          (C) 2008 ProQuest Info&Learning
File 610:Business Wire 1999-2008/Jun 03
          (C) 2008 Business Wire.
File 613:PR Newswire 1999-2008/Jun 03
          (C) 2008 PR Newswire Association Inc
File 624:McGraw-Hill Publications 1985-2008/Jun 03
          (C) 2008 McGraw-Hill Co. Inc

File 634:San Jose Mercury  Jun 1985-2008/May 29
          (C) 2008 San Jose Mercury News
File 810:Business Wire 1986-1999/Feb 28
```

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              (c) 1999 Business Wire
File 813:PR Newswire 1987-1999/Apr 30
              (c) 1999 PR Newswire Association Inc
File 625:American Banker Publications 1981-2008/May 30
              (c) 2008 American Banker
File 268:Banking Info Source 1981-2008/May W4
              (c) 2008 ProQuest Info&Learning
File 626:Bond Buyer Full Text 1981-2008/May 29
              (c) 2008 Bond Buyer
File 267:Finance & Banking Newsletters 2008/Jun 02
              (c) 2008 Dialog
File  16:Gale Group PROMT(R) 1990-2008/May 27
              (c) 2008 The Gale Group
File 148:Gale Group Trade & Industry DB 1976-2008/May 14
              (c)2008 The Gale Group
File 160:Gale Group PROMT(R) 1972-1989
              (c) 1999 The Gale Group
File 275:Gale Group Computer DB(TM) 1983-2008/May 27
              (c) 2008 The Gale Group
File 621:Gale Group New Prod.Annou.(R) 1985-2008/May 14
              (c) 2008 The Gale Group
File 636:Gale Group Newsletter DB(TM) 1987-2008/May 28
              (c) 2008 The Gale Group
File  20:Dialog Global Reporter 1997-2008/Jun 02
              (c) 2008 Dialog
File  35:Dissertation Abs Online 1861-2008/Nov
              (c) 2008 ProQuest Info&Learning
File  65:Inside Conferences 1993-2008/Jun 02
              (c) 2008 BLDSC all rts. reserv.
File  99:Wilson Appl. Sci & Tech Abs 1983-2008/Apr
              (c) 2008 The HW Wilson Co.
File 474:New York Times Abs 1969-2008/Jun 02
              (c) 2008 The New York Times
File 475:Wall Street Journal Abs 1973-2008/Jun 03
              (c) 2008 The New York Times
File 583:Gale Group Globalbase(TM) 1986-2002/Dec 13
              (c) 2002 The Gale Group
File 139:EconLit 1969-2008/Mar
              (c) 2008 American Economic Association
File 256:TecInfoSource 82-2008/Mar
              (c) 2008 Info.Sources Inc
File 996:NewsRoom 2000-2003
              (c) 2008 Dialog

Set    Items   Description
S1        35   AU=(WAELBROECK, H? OR WAELBROECK H? OR WAELBROECK(2N)H?) OR
               BY=WAELBROECK(2N)H?
S2        22   AU=(FEDERSPIEL, F? OR FEDERSPIEL F? OR FEDERSPIEL(2N)F?) OR
               BY=FEDERSPIEL(2N)F?
S3      6015   AU=(LOPEZ, J? OR LOPEZ J? OR LOPEZ(2N)J?) OR BY=LOPEZ(2N)J?
S4      6072   S1 OR S2 OR S3
S5         1   S4 AND ((SECURITIES OR EQUITIES OR STOCKS)()(TRADE OR TRAD-
               ES OR TRADING OR TRANSACTION OR TRANSACTIONS OR TRANSACTING OR
               PURCHASE OR PURCHASES OR PURCHASING OR SALE OR BUY OR BUYING
               OR SELL OR SELLING))
S6         0   S5 NOT PY=2003

~~ Non-Patent Literature: Full Text
    Dialog files:
9,15,16,20,148,160,267,268,275,610,613,621,624,625,626,634,636,810,813,996

File   9:Business & Industry(R) Jul/1994-2008/May 28
              (c) 2008   The Gale Group
File  15:ABI/Inform(R) 1971-2008/Jun 02
              (c) 2008 ProQuest Info&Learning
File  16:Gale Group PROMT(R) 1990-2008/May 27
              (c) 2008 The Gale Group
File  20:Dialog Global Reporter 1997-2008/Jun 03
```

File 148:Gale Group Trade & Industry DB 1976-2008/May 14
          (c)2008 The Gale Group
File 160:Gale Group PROMT(R) 1972-1989
          (c) 1999 The Gale Group
File 267:Finance & Banking Newsletters 2008/Jun 02
          (c) 2008 Dialog
File 268:Banking Info Source 1981-2008/May W4
          (c) 2008 ProQuest Info&Learning
File 275:Gale Group Computer DB(TM) 1983-2008/May 27
          (c) 2008 The Gale Group
File 610:Business Wire 1999-2008/Jun 03
          (c) 2008 Business Wire.
File 613:PR Newswire 1999-2008/Jun 03
          (c) 2008 PR Newswire Association Inc
File 621:Gale Group New Prod.Annou.(R) 1985-2008/May 14
          (c) 2008 The Gale Group
File 624:McGraw-Hill Publications 1985-2008/Jun 03
          (c) 2008 McGraw-Hill Co. Inc
File 625:American Banker Publications 1981-2008/May 30
          (c) 2008 American Banker
File 626:Bond Buyer Full Text 1981-2008/May 29
          (c) 2008 Bond Buyer
File 634:San Jose Mercury Jun 1985-2008/May 29
          (c) 2008 San Jose Mercury News
File 636:Gale Group Newsletter DB(TM) 1987-2008/May 28
          (c) 2008 The Gale Group
File 810:Business Wire 1986-1999/Feb 28
          (c) 1999 Business Wire
File 813:PR Newswire 1987-1999/Apr 30
          (c) 1999 PR Newswire Association Inc
File 996:NewsRoom 2000-2003
          (c) 2008 Dialog

Set	Items	Description
S1	1688618	(SECURITIES OR EQUITIES OR STOCKS)(2N)(TRADE OR TRADES OR - TRADING OR TRANSACTION OR TRANSACTIONS OR TRANSACTING OR PURC- HASE OR PURCHASES OR PURCHASING OR SALE OR BUY OR BUYING OR S- ELL OR SELLING)
S2	1237571	NOTIFICATION OR NOTIFY?? OR NOTIFY??? OR TRANSMIT? ? OR TR- ANSMITTING OR REPORT??? OR INFORM??? OR COMMUNICAT???? OR MES- SAG??? OR ALERT??? OR COORDINAT??? OR CO()ORDINAT??? OR REFER? ? OR REFERR???
S3	817117	USER OR USERS OR BROKER OR BROKERS OR TRADER OR TRADERS OR MARKET()(PARTICIPANT OR PARTICIPANTS) OR TRADING()ENTITIES OR COUNTER()PART???
S4	1573	(REASONABL?? ? OR RATIONAL?? OR RANGE OR USUAL?? OR CUSTOMA- R??? OR FAIR)(4N)(FEE OR FEES OR PRICE? ? OR PRICING OR CHARG- ??? OR COST??? OR RATE OR RATES)(8N)(ORDER OR ORDERS OR REQUE- ST? ? OR REQUISITION? ?)
S5	69895	S2(12N)S3
S6	19237	S1(S)S5
S7	21	S4(25)S6
S8	14	S7 NOT PY>2003
S9	13	RD (unique items)

 9/3,K/1   (Item 1 from file: 20)
DIALOG(R)File 20:Dialog Global Reporter
(c) 2008 Dialog. All rts. reserv.

16406539 (USE FORMAT 7 OR 9 FOR FULLTEXT)
Regional Bourses Closer to Integration
ZIMBABWE INDEPENDENT
April 27, 2001
JOURNAL CODE: FZMI   LANGUAGE: English RECORD TYPE: FULLTEXT
WORD COUNT: 705

   (USE FORMAT 7 OR 9 FOR FULLTEXT)

... equities, bonds, derivatives and other financial instruments; and
to enforce legislation and rules and protect market participants and
investors.
   The Johannesburg Stock Exchange (JSE) has adopted the King's Report ,
which is now the guide to good corporate governance by directors of listed
firms. The...

^ 9/3,K/2   (Item 1 from file: 267)
DIALOG(R)File 267:Finance & Banking Newsletters
(c) 2008 Dialog. All rts. reserv.

04594017
 SEC's Bergmann: Matching Services Essential for STP
John Sandman
Security Industry News
October 14,2002   DOCUMENT TYPE: NEWSLETTER
PUBLISHER: SECURITIES DATA PUBLISHING
LANGUAGE: ENGLISH   WORD COUNT: 2104   RECORD TYPE: FULLTEXT

TEXT:
...the '34 Act with respect to the national system for the clearance and
settlement of securities   transactions .
   The Commission has granted Omgeo, a joint venture between Depository
Trust & Clearing Corp. and Thomson...Omgeo must link to other matching
services so that no matter what matching service a broker -dealer and its
institutional client use, they will be able to communicate trade and
allocation data. The order sets out a procedure for Omgeo to negotiate
links...

...links. Omgeo must support industry communication protocols, message
format standards, and message file protocols.
   The fees for using the linkages must be fair and reasonable . The
order provides for items to be considered in determining what's fair and
 reasonable and sets a 60-day time limit for Omgeo to negotiate the fees
with another...

   9/3,K/3   (Item 2 from file: 267)
DIALOG(R)File 267:Finance & Banking Newsletters
(c) 2008 Dialog. All rts. reserv.

04551115
 Levitt Sees Stronger Bans on Recruiting Bonuses, Sales Contests But he
wants to ease restrictions on some advisory activities.
Jed Horowitz
On Wall Street
June 1,1999   DOCUMENT TYPE: NEWSLETTER
PUBLISHER: SECURITIES DATA PUBLISHING
LANGUAGE: ENGLISH   WORD COUNT: 636   RECORD TYPE: FULLTEXT

TEXT:
...regulators. Below are excerpts from his important talk on compensation
and sales.
   "Let me discuss broker compensation. As you all remember, the Tully
Report identified several practices that raised the potential for
conflicts of interest between registered representatives and...

...the SEC for approval.]
   Easing the Road to Advisory Fees
   Levitt also expressed concern that brokers are constricted by
"regulatory obstacles" from following the Tully Report 's recommendation
to give customers a choice between paying straight commissions and a mix of
...

...be subject to the Investment Advisers Act. That means they must obtain
customers' consent before selling them securities out ...being sold
house-owned shares in "illiquid securities" and from putting in "large,
market-moving orders where it is very difficult to know whether the
client paid a fair price ."
   He said the SEC's Division of Investment Management will develop
amendments to the [Investment...

   9/3,K/4   (Item 1 from file: 996)
DIALOG(R)File 996:NewsRoom 2000-2003
(c) 2008 Dialog. All rts. reserv.

0742037062 16EE1465
424B3: TRIARC COMPANIES INC
EDGAR Online Forms
Wednesday, December 3, 2003
JOURNAL CODE: BDFB LANGUAGE: English RECORD TYPE: Fulltext
DOCUMENT TYPE: Newswire
WORD COUNT: 42,210

   9/3,K/5   (Item 2 from file: 996)
DIALOG(R)File 996:NewsRoom 2000-2003
(c) 2008 Dialog. All rts. reserv.

0735027878 16CY0V7S
S-1/A: BUFFALO WILD WINGS INC
EDGAR Online Forms
Thursday, November 20, 2003
JOURNAL CODE: BDFB LANGUAGE: English RECORD TYPE: Fulltext
DOCUMENT TYPE: Newswire
WORD COUNT: 59,065

   9/3,K/6   (Item 3 from file: 996)
DIALOG(R)File 996:NewsRoom 2000-2003
(c) 2008 Dialog. All rts. reserv.

0724019897 16C80MFS
424B2: F5 NETWORKS INC
EDGAR Online Forms
Thursday, October 30, 2003
JOURNAL CODE: BDFB LANGUAGE: English RECORD TYPE: Fulltext
DOCUMENT TYPE: Newswire
WORD COUNT: 50,779

...securities commission has approved or disapproved of these securities
or

determined if this prospectus is truthful or complete. Any representation
to the

contrary is...or incorporate an Internet traffic management component into
existing products in a manner that discourages users from purchasing our
products. Potential customers may also choose to purchase additional or
larger servers....the loss of our contract manufacturer may cause a delay in
our ability to fulfill orders while we obtain a replacement manufacturer
and may harm our business and results of operations...

   9/3,K/7   (Item 4 from file: 996)
DIALOG(R)File 996:NewsRoom 2000-2003
(c) 2008 Dialog. All rts. reserv.

0708541626 16A918NT
S-3: MILLS CORP
EDGAR Online Forms
Tuesday, September 30, 2003

JOURNAL CODE: BDFB LANGUAGE: English RECORD TYPE: Fulltext
DOCUMENT TYPE: Newswire
WORD COUNT: 60,320

...Ratio of Earnings to Combined Fixed **Charges** and Preferred Dividends...
factors.

The Series D preferred stock is a new issue of securities with **no**
established trading market. We intend to apply to list the Series D
preferred stock on the NYSE...

 9/3,K/8   (Item 5 from **file: 996**)
DIALOG(R)File 996:NewsRoom 2000-2003
(c) 2008 Dialog. All rts. reserv.

0701030020 169U0XA3
424B2: MGM MIRAGE
EDGAR Online Forms
Monday, September 15, 2003
JOURNAL CODE: BDFB LANGUAGE: English RECORD TYPE: Fulltext
DOCUMENT TYPE: Newswire
WORD COUNT: 43,811

...Prior to this offering, there was no **public** market for the notes. We
have **been** informed by the underwriters that they intend to make a **market**
 in the notes after we complete this offering. However, the underwriters
may cease their market...

 9/3,K/9   (Item 6 from **file: 996**)
DIALOG(R)File 996:NewsRoom 2000-2003
(c) 2008 Dialog. All rts. reserv.

0698027863 169N0V6Q
8-K: GREENPOINT MORT SEC INC MORT BACK PS THR CERTS SER 2003-1
EDGAR Forms
Tuesday, September 9, 2003
JOURNAL CODE: BDFA LANGUAGE: English RECORD TYPE: Fulltext
DOCUMENT TYPE: Newswire
WORD COUNT: 68,416

...certify that

1.

I have reviewed this annual **report** on Form 10-K, and all reports on Form
8-K containing distribution or servicing...

 9/3,K/10   (Item 7 from **file: 996**)
DIALOG(R)File 996:NewsRoom 2000-2003
(c) 2008 Dialog. All rts. reserv.

0681035737 168L12WS
S-4: SEQUA CORP /DE/
EDGAR Forms
Thursday, August 7, 2003
JOURNAL CODE: BDFA LANGUAGE: English RECORD TYPE: Fulltext
DOCUMENT TYPE: Newswire
WORD COUNT: 55,790

... customary
——

 9/3,K/11   (Item 8 from **file: 996**)
DIALOG(R)File 996:NewsRoom 2000-2003
(c) 2008 Dialog. All rts. reserv.

0505048892 15XL1HRV
Rules regulating The Florida Bar.
Florida Bar Journal, v76, n8, p731(100)
Sunday, September 1, 2002
JOURNAL CODE: AUTY LANGUAGE: English RECORD TYPE: Fulltext
DOCUMENT TYPE: Trade Journal ISSN: 0015-3915
WORD COUNT: 168,378

...and addresse s of all persons and entities that have been furnished
copies of the order .

(h) Forfeiture of Fees . An order of the Supreme Court of Florida or a
report of minor misconduct adjudicating a respondent...nly:

(A) investigative costs, including travel and out-of-pocket expense s;

(B) court reporters' fees ;

(C) copy costs ;

(D) telephone charges ;
(E) fees for translation services;

(F) witness expenses, including travel and out-of-pocket expenses;

(G) travel...not lead the lawyer to undertake matters that cannot
be handled competently and at a reasonable   fee . See rules 4-1.1 and 4
-1.5. If the probity of a lawyer...

 9/3,K/12   (Item 9 from file: 996)
DIALOG(R)File 996:NewsRoom 2000-2003
(c) 2008 Dialog. All rts. reserv.

0182521149 159FONNW
Is it really nuts to trade online?
Lowes, Robert
Medical Economics, v77, n24, p46
Monday, December 18, 2000
JOURNAL CODE: AJWB LANGUAGE: ENGLISH RECORD TYPE: Fulltext
DOCUMENT TYPE: Trade Journal ISSN: 0025-7206
WORD COUNT: 2,681

...buying on margin--check your e-mail constantly. If your account is
shrinking, your online broker will send a message   notifying you that
it's planning to sell some of your assets to make up the...

 9/3,K/13   (Item 10 from file: 996)
DIALOG(R)File 996:NewsRoom 2000-2003
(c) 2008 Dialog. All rts. reserv.

0145012596 15720E9M
Binck Brokers: Online broker Binck launched today
M2 COMMUNICATIONS
Friday, October 6, 2000
JOURNAL CODE: ALPP LANGUAGE: ENGLISH RECORD TYPE: Fulltext
DOCUMENT TYPE: Newswire
WORD COUNT: 864

TEXT:
...investors direct access to the trading floor via Internet (www.binck.nl)
and telephone in order to buy and sell   securities and derivatives
at extremely reasonable   rates on the markets of Euronext Amsterdam, the
New York Stock Exchange and NASDAQ. Binck has...

~~ Non-Patent Literature: Non-Full Text

```
   Dialog files: 2,35,65,99,139,256,474,475,583


File   2:INSPEC 1898-2008/May W1
         (c) 2008 Institution of Electrical Engineers
File  35:Dissertation Abs Online 1861-2008/Nov
         (c) 2008 ProQuest Info&Learning
File  65:Inside Conferences 1993-2008/Jun
         (c) 2008 BLDSC all rts. reserv.
File  99:Wilson Appl. Sci & Tech Abs 1983-2008/Apr
         (c) 2008 The HW Wilson Co.
File 139:EconLit 1969-2008/Mar
         (c) 2008 American Economic Association
File 256:TecInfoSource 82-2008/May
         (c) 2008 Info.Sources Inc
File 474:New York Times Abs 1969-2008/Jun 02
         (c) 2008 The New York Times
File 475:Wall Street Journal Abs 1973-2008/Jun 03
         (c) 2008 The New York Times
File 583:The Gale Group Globalbase(TM) 1986-2002/Dec 13
         (c) 2003 The Gale Group


set    Items   Description
S1     22476   (SECURITIES OR EQUITIES OR STOCKS)(2N)(TRADE OR TRADES OR -
               TRADING OR TRANSACTION OR TRANSACTIONS OR TRANSACTING OR PURC-
               HASE OR PURCHASES OR PURCHASING OR SALE OR BUY OR BUYING OR S-
               ELL OR SELLING)
S2      3418   NOTIFICATION OR NOTIFY?? OR NOTIFY??? OR TRANSMIT?? ? OR TR-
               ANSMITTING OR REPORT??? OR INFORM??? OR COMMUNICAT???? OR MES-
               SAG??? OR ALERT??? OR COORDINAT??? OR CO(0)ORDINAT??? OR REFER?
               ? OR REFERR???
S3      2786   USER OR USERS OR BROKER OR BROKERS OR TRADER OR TRADERS OR
               MARKET()(PARTICIPANT OR PARTICIPANTS) OR TRADING()ENITIES OR
               COUNTER()PARTY??
S4         5   (REASONABL?? OR RATIONAL?? OR RANGE OR USUAL?? OR CUSTOMA-
               R??? OR FAIR)(4N)(FEE OR FEES OR PRICE? ? OR PRICING OR CHARG-
               ??? OR COST??? OR RATE OR RATES)(8N)(ORDER OR ORDERS OR REQUE-
               ST? ? OR REQUISITION? ?)
S5         0   S1 AND (S2 OR S3) AND S4
S6         5   S1 AND S4
S7         5   S6 NOT PY>2003
S8         5   RD  (unique items)

 8/3,K/1      (Item 1 from file: 2)
DIALOG(R)File   2:INSPEC
(c) 2008 Institution of Electrical Engineers. All rts. reserv.
```

06489859   INSPEC Abstract Number: C9703-7120-060
Title: An analysis of stops and profit objectives in trading systems

Author(s): Atiya, A.
Author Affiliation: Dept. of Comput. Eng., Cairo Univ., Giza, Egypt

   ...Abstract: investor who buys an asset at a particular price, usually
sells the asset when the price drops below a certain level, called a
stop, in order to avoid further losses. Also, the investor usually
sells the asset if the price appreciates beyond a certain level (profit

objective), in order to secure the achieved profit. This...
    ...Descriptors: securities   trading ;

  8/3,K/2   (Item 1 from file: 35)
DIALOG(R)File 35:Dissertation Abs Online
(c) 2008 ProQuest Info&Learning. All rts. reserv.

01960466 ORDER NO: AADAA-I0805453
Essays on index premia and demand curves for stocks
    Author: Petajisto, Antti
    Degree: Ph.D.
    Year: 2003
    Corporate Source/Institution: Massachusetts Institute of Technology (
        0753)
    Source: VOLUME 64/07-A OF DISSERTATION ABSTRACTS INTERNATIONAL.
        PAGE 2599.

    ...the index premium creates a recurring cost: as the index is
updated, they need to buy   stocks with the premium and sell   stocks
without the premium. Different index rules can produce different index
premia due to the different...

...market-cap rule, an exogenous random rule, and a deterministic rule. We
find that the rational anticipation of future index composition reflected
in prices today eliminates any first- order differences in index fund
performance across the three index rules. As the index investors become...

  8/3,K/3   (Item 2 from file: 35)
DIALOG(R)File 35:Dissertation Abs Online
(c) 2008 ProQuest Info&Learning. All rts. reserv.

765200 ORDER NO: AAD82-00157
ESSAYS IN SECURITY MARKET ARCHITECTURE
    Author: KALE, JIVENDRA KESHAV
    Degree: PH.D.
    Year: 1981
    Corporate Source/Institution: UNIVERSITY OF CALIFORNIA, BERKELEY (0028)
    Source: VOLUME 42/07-A OF DISSERTATION ABSTRACTS INTERNATIONAL.
        PAGE 3223. 109 PAGES

    ...context of the model, sets of limit orders are always superior to
market orders for trading   securities . The model is also used to
demonstrate that the market maker's aversion to risk...

...second essay we explore the possibility of implementing a
non-tatonnement single step mechanism for trading   securities . A
two-person two-asset pure exchange economy consisting of risk-averse
investors is modeled...

...feasible and that it converges to a competitive equilibrium as investors
increase the number of orders specified within a given price range . A
    In the third essay we study a particular type of security market
architecture, namely a...

  8/3,K/4   (Item 1 from file: 475)
DIALOG(R)File 475:Wall Street Journal Abs
(c) 2008 The New York Times. All rts. reserv.

01076909   NYT Sequence Number: 015563760623
(Rockwell Internat'l shareholder Harry Lewis files derivative suit against
Rockwell, charging it improperly granted alternative stock options to
employees in '75, thus modifying terms of stock-option plan approved by
shareholders in '73. Claims plan allowed purchase of Rockwell shares at
'grossly inadequate prices'. Amgs damages won in a derivative suit are
paid to co rather than to shareholder. Suit requests 403,000 alternative
options be nullified and that individuals holding options be enjoined

from exercising them at $20-$21/share price   range . Also requests '
    reasonable ' atty and accountant fees (S).)
Wall Street Journal, June 23 1976
Wednesday June 23 1976

...nullified and that individuals holding options be enjoined from
   exercising them at $20-$21/share price   range . Also requests '
   reasonable ' atty and accountant fees (S).)

DESCRIPTORS: PRICES; SHAREHOLDERS; STOCK OPTIONS AND PURCHASE PLANS;
   STOCKS AND BONDS; SUITS AND LITIGATION

 8/3,K/5   (Item 1 from file: 583)
DIALOG(R)File 583:Gale Group Globalbase(TM)
(c) 2002 The Gale Group. All rts. reserv.

00200444
COMPUTERS DO NOT INCREASE RISKS OF THE STOCK MARKET
   CANADA - COMPUTERS DO NOT INCREASE RISKS OF THE STOCK MARKET
Canadian Globe & Mail (CGM)   2 April 1986   p84

... the stock market. Due to the fact that many US investment firms use
   computers to buy   and sell   stocks and shares, stock markets often
   experience large swings as   orders are matched. The software usually
   costs between $2.5k and $15k.

~~ Patent Literature:
   Dialog files: 347,348,349,350

File 347:JAPIO Dec 1976-2007/Dec(Updated 080328)
          (C) 2008 JPO & JAPIO
File 348:EUROPEAN PATENTS 1978-2007/ 200822
          (C) 2008 European Patent Office
File 349:PCT FULLTEXT 1979-2008/UB=20080529|UT=20080522
          (C) 2008 WIPO/Thomson
File 350:Derwent WPIX 1963-2008/UD=200834
          (C) 2008 The Thomson Corporation

Set   Items   Description
S1   2741   (SECURITIES OR EQUITIES OR STOCKS)(2N)(TRADE OR TRADES OR -
              TRADING OR TRANSACTION OR TRANSACTIONS OR TRANSACTING OR PURC-
              HASE OR PURCHASES OR PURCHASING OR SALE OR BUY OR BUYING OR S-
              ELL OR SELLING)
S2   2047   NOTIFICATION OR NOTIFY?? OR NOTIFY??? OR TRANSMIT? ? OR TR-
              ANSMITTING OR REPORT??? OR INFORM??? OR COMMUNICAT???? OR MES-
              SAG??? OR ALERT??? OR COORDINAT??? OR CO()ORDINAT??? OR REFER?
              ? OR REFERR???
S3   1953   USER OR USERS OR BROKER OR BROKERS OR TRADER OR TRADERS OR
              MARKET()(PARTICIPANT OR PARTICIPANTS) OR TRADING()ENTITIES OR
              COUNTER()PART???
S4   129   (REASONABL? ? OR RATIONAL?? OR RANGE OR USUAL?? OR CUSTOMA-
              R??? OR FAIR)(4N)(FEE OR FEES OR PRICE? ? OR PRICING OR CHARG-
              ??? OR COST??? OR RATE OR RATES)(8N)(ORDER OR ORDERS OR REQUE-
              ST? ? OR REQUISITION? ?)
S5   1297   S2(12N)S3
S6   326   S1(60N)S5
S7   3   S4(60N)S6

^ 7/3,K/1   (Item 1 from file: 349)
DIALOG(R)File 349:PCT FULLTEXT
(c) 2008 WIPO/Thomson. All rts. reserv.

01197352   **Image available**
CONFIDENTIAL BLOCK TRADING SYSTEM AND METHOD
SYSTEME ET PROCEDE DE VENTE DE TITRES CONFIDENTIELLE
Patent Applicant/Assignee:
   E-XCHANGE ADVANTAGE INC, 51 East 42nd Street, Suite 602, New York, NY

10017, US, US (Residence), US (Nationality), (For all designated states
except: US)
Patent Applicant/Inventor:
WAELBROECK Henri, 38A Claremont Road, Scarsdale, NY 10583, US, US
(Residence), BE (Nationality), (Designated only for: US)
FEDERSPIEL Fred J, 12 Gerlach Place, Larchmont, NY 10583, US, US
(Residence), US (Nationality), (Designated only for: US)
LOPEZ John E, 25 Burgundy Lane, Nesconset, NY 11767, US, US (Residence),
US (Nationality), (Designated only for: US)
Legal Representative:
UNDERWOOD Steven D et al (agent), Morgan, Lewis & Bockius LLP, 1111
Pennsylvania Avenue, NW, Washington, DC 20004, US
Patent and Priority Information (Country, Number, Date):
Patent: WO 2005D3894 A2-A3 20050113 (WO O503894)
Application: WO 2004US19706 20040622 (PCT/WO US2004019706)
Priority Application: US 20030100 20030624
Designated States:
(All protection types applied unless otherwise stated - for applications
2004+)
AE AG AL AM AT AU AZ BA BB BG BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM
DZ EC EE EG ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC
LK LR LS LT LU LV MA MG MK MN MW MX MZ NA NI NO NZ OM PG PH PL PT RO
RU SC SD SE SG SK SL SY TJ TM TN TR TT TZ UA UG US UZ VC VN YU ZA ZM ZW
(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IT LU MC NL PL PT RO
SE SI SK TR
(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG
(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW
(EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 15055

Fulltext Availability:
  Detailed Description
  Claims

English Abstract
A method for facilitating trading of securities over a computer
system comprises electronically receiving a buy or sell order for a
security from a first user ; determining that the order is reasonably
priced ; transmitting to a second user an electronic notification
that a reasonably priced order for the security is present, but
without notifying the second user of the side of the first user's
order, receiving an order from the second user, wherein the second user's
order...

Claim
WHAT IS CLAPEED:

1 A method for facilitating trading of securities over a computer
system, comprising the
steps of
electronically receiving a first buy or sell order for a security from
a first user ,
determining that said first order is reasonably priced ;
transmitting to a second user an electronic notification that a
reasonably priced order for said security is present, but without
notifying said second user of the side of said first
order,
receiving a second order from said second user...

...predetermined time period has lapsed. I 1. A method as in claim 1,
further comprising transmitting an electronic contra order notification
to said first user after said second order is received, said contra
order notification indicating that a nearly matching contra order is
active within the system.
12 A method as in claim 1, wherein said first user receives said
contra order notification immediately after said second order is

received.

13 An electronic system for facilitating securities trading...

...facilitation system;
a financial information exchange network in communication with said trade
    facilitation system;
a communication network in communication with said trade facilitation
    system; one or more user terminals in communication with said
    communication network and
said financial information exchange network; and
an execution engine in communication with said...

...claim 13, wherein said analytics server evaluates securities orders
    received from said users by comparing price aggression of said orders
    to a block price range for a security to which said order is
    directed. - 64 . A system as in claim 14, wherein said block price
    range is calculated by said analytics server based on recent market
    prices and volatility of said...

^ 7/3,K/2   (Item 1 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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0014085447   - Drawing available
WPI ACC NO: 2004-268911/200425
Related WPI Acc No: 2002-090121; 2002-499387; 2004-783124; 2007-218399
XRPX Acc No: N2004-212715
Securities   trading method through Internet, involves notifying
presence of reasonably   priced   order to another user for receiving
order , based on analysis result of received order, and performing trade
execution based on orders
Patent Assignee: E-XCHANGE ADVANTAGE INC (EXCH-N); FEDERSPIEL F J
  (FEDE-I); LOPEZ J E   (LOPE-I); WAELBROECK H (WAEL-I); XCHANGE ADVANTAGE
  INC E (XCHA-N2); EXCHANGE ADVANTAGE INC (EXCH-N)
Inventor: FEDERSPIEL F; FEDERSPIEL F J; LOPEZ J; LOPEZ J E; WAELBROECK H
Patent Family (5 patents, 107 countries)

Patent			Application			
Number	Kind	Date	Number	Kind	Date	Update
US 20040059666	A1	20040325	US 2000585049	A	20000601	200425 B
			US 2000750768	A	20001229	
			US 2001870845	A	20010531	
			US 2003603100	A	20030624	
WO 2005003894	A2	20050113	WO 2004US19706	A	20040622	200505 E
EP 1636678	A2	20060322	EP 2004755710	A	20040622	200621 E
			WO 2004US19706	A	20040622	
CN 1853193	A	20061025	CN 200480017566	A	20040622	200715 E
IN 200503515	P4	20070511	WO 2004US19706	A	20040622	200752 E
			IN 2005CN3515	A	20051223	

Priority Applications (no., kind, date): US 2000585049 A 20000601; US
  2000750768 A 20001229; US 2001870845 A 20010531; US 2003603100 A
  20030624

Patent Details
Number   Kind Lan Pg Dwg Filing Notes
US 20040059666 A1 EN   38   10 C-I-P of application US 2000585049
                                  C-I-P of application US 2000750768
                                  C-I-P of application US 2001870845
WO 2005003894   A2 EN
National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BR BW
  BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE EG ES FI GB GD GE GH GM HR
  HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW
  MX MZ NA NI NO NZ OM PG PH PL PT RO RU SC SD SE SG SK SL SY TJ TM TN TR
  TT TZ UA UG US UZ VC VN YU ZA ZM ZW
Regional Designated States,Original: AT BE BG BW CH CY CZ DE DK EA EE ES
  FI FR GB GR GH HU IE IT KE LS LU MC MW MZ NA NL OA PL PT RO SD SE SI
  SK SL SZ TR TZ UG ZM ZW

EP 1636678   A2 EN   PCT Application   WO 2004US19706
                                 Based on OPI patent   WO 2005003894
Regional Designated States,Original: AL AT BE BG CH CY CZ DE DK EE ES FI
   FR GB GR HR HU IE IT LI LT LU LV MC MK NL PL PT RO SE SI SK TR
IN 200503515   P4 EN   PCT Application   WO 2004US19706

  Securities   trading method through Internet, involves notifying
presence of reasonably priced order to another user for receiving
order , based on analysis result of received order, and performing trade
execution based on orders

Original Publication Data by Authority

Argentina

Assignee name & address:
Original Abstracts:
A method for facilitating trading of securities over a computer system
comprises electronically receiving a buy or sell order for a security
from a first user ; determining that the order is reasonably priced ;
 transmitting to a second user an electronic notification that a
 reasonably   priced   order for the security is present, but without
notifying the second user of the side of the first user 's order;
receiving an order from the second user, wherein the second user's order...

...A method for facilitating trading of securities over a computer
system comprises electronically receiving a buy or sell order for a
security from a first user ; determining that the order is reasonably
priced ; transmitting to a second user an electronic notification
that a reasonably   priced   order for the security is present, but
without notifying the second user of the side of the first user 's
order; receiving an order from the second user, wherein the second user's
order...

...A method for facilitating trading of securities over a computer
system comprises electronically receiving a buy or sell order for a
security from a first user ; determining that the order is reasonably
priced ; transmitting to a second user an electronic notification
that a reasonably   priced   order for the security is present, but
without notifying the second user of the side of the first user 's
order; receiving an order from the second user, wherein the second user's
order...
Claims:
What is claimed:1. A method for facilitating trading of
securities over a computer system, comprising the steps of:electronically
receiving a first buy or sell order for a security from a first user
;determining that said first order is reasonably   priced ; transmitting
 to a second user an electronic notification that a reasonably
priced   order for said security is present, but without notifying said
second user of the side of said first order;receiving a second order from
said second user...

  7/3,K/3   (Item 2 from file: 350)
DIALOG(R)File 350:Derwent WPIX
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0013999564 - Drawing available
WPI ACC NO: 2004-180769/200417
XRPX Acc No: N2004-143699
Electronic calculator for trader, has memory containing trading price
information and processor dividing trading prices into previously entered
cash, margin, or buying power to calculate resultant trade order size
Patent Assignee: BJORNSON J E (BJOR-I); BJORNSON K H (BJOR-I)
Inventor: BJORNSON J E; BJORNSON K H
Patent Family (3 patents, 103 countries)
Patent   Application
Number   Kind Date   Number   Kind Date   Update
WO 2004015551 A2 20040219 WO 2003US25467 A   20030812 200417 B

Patent Details
Number   Kind Lan   Pg   Dwg   Filing Notes
WO 2004015551 A2   EN   49   2
National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BR BY
   BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE ES FI GB GD GE GH GM HR HU ID
   IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ
   NI NO NZ OM PG PH PL PT RO RU SC SD SE SG SK SL SY TJ TM TN TR TT TZ UA
   UG US UZ VC VN YU ZA ZM ZW
Regional Designated States,Original: AT BE BG CH CY CZ DE DK EA EE ES FI
   FR GB GH GM GR HU IE IT KE LS LU MC MW MZ NL OA PT RO SD SE SI SK SL SZ
   TR TZ UG ZM ZW
US 20040103127 A1 EN   Related to Provisional US 2002402559
AU 2003259836   A1 EN   Based on OPI patent WO 2004015551

Original Publication Data by Authority

Argentina

Assignee name & address:
Original Abstracts:
...e.g. pocket, hand-held, and desktop) and will be for "traders of all
levels... trading securities of all types". These innovative hand-held
calculators   allow   traders worldwide to be fast, proactive, prepared,
and informed ... enabling them to increase productivity and profits.
Trade order sizes can be determined for stocks , options, bonds ,
mutual funds, futures, indexes, currency, commodities, or any other
security in the world that is...

...cash amount(s), premium, and multiplier. Price/or premium and buying
power are entered by the user, and they can then quickly scroll up/down
through order sizes) or number of contracts) by price /or premium in a
 range , with a variety of decimal/or fractional increments on "speed
keys". The hand-held calculator determines variables that are used during
active trading (e...
Claims: